



Supplier Audit Program

Module 2

Audit Plan and Preparation



Supplier Audit Program

This section covers

- **Checklists**
- **Audit scheduling**
- **Audit agenda**



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Checklists

- **There are 28 checklists developed focusing on specific processes.**
- **Checklists are instrumental to ensure the audit is thorough, effective and uniform.**
- **Checklist questions are developed, keeping in mind the purpose, scope and objective of the audit.**



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Checklists are constructed to allow recording of

- ➡ Auditee Responses.
- ➡ Additional comments.
- ➡ Substantial evidence.
- ➡ Results of verification at activity/work site.
- ➡ Other information/observations.



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Function of checklists

- **Keeps the audit on schedule and flowing smoothly.**
- **Uses performance time efficiently.**
- **Helps to keep the audit objective.**
- **Allows thorough coverage of the audit.**



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Current Checklists

- Metallurgical/Chemical Testing.
- Hydrostatic Testing.
- Non-destructive Testing
- Calibration.
- Inspection and Testing.
- Material Control.
- Document and Data Control.
- Painting and Surface Preparation.
- Control of Suppliers / Subcontractors
- Flowdown of Customer Requirements.
- First Article, Factory Acceptance and Individual Acceptance Testing.
- Receiving Inspection.
- Non-conforming Material Control.



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Current Checklists (con't)

- Component / System Cleanliness.
- Torque.
- Supplier Control of Objective Quality Evidence and Material Traceability.
- Packaging and Preservation.
- Final / Ship-out Inspection.
- Electrical Testing.
- Flame Spray.
- Customer Contract / Purchase Order Review.
- Internal Quality Audits.
- Welding.
- Heat Treat.
- Plating.
- Soldering.
- Fastener Test Methods (ASTM F 606).
- Teflon Coating.
- Braze/Brazing Process.



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Checklist records

Records should be maintained as a reference for future audits.

Completed records are retained as formal documentation and:

- As a reference for responses.
- Previous audit findings satisfied.
- Out of scope problems to be addressed in future.



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Plan Review

Lead auditor must:

- Finalize the audit documents.**
- Distribute to audit team.**
- Conduct a review of the documents, tools, and methods.**

*The **audit team** is responsible for being familiar with the checklists, documents, standards, data collection methods, and how questions are to be completed.*



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Audit Notification

- ⊗ **The Team Leader must notify the supplier 3 months prior to audit date or within a reasonable time to enable the auditee sufficient time to be prepared for the audit.**
- ⊗ **Advance notice gives the auditee incentive to improve his/her control systems.**
- ⊗ **Audit performance will be smoother.**
- ⊗ **The audit is *already* working.**



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Audit Notification (Con't)

- ⊗ **Public shipyards shall coordinate contact through the local DCMA Representative.**
- ⊗ **Professional notification should:**
 - **Set the tone of the audit.**
 - **Emphasize cooperation, mutual benefit, importance, desired outcome and consequences.**
 - **Purpose and scope of audit.**
 - **Type of audit.**
 - **Dates and duration of the audit.**
 - **Auditors names.**
- ***Applicable checklists should also be provided.***



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Audit Notification (Con't)

Advantage:

- **Gives the auditee opportunity to gather documentation and facilitate presentation of supporting data during audit.**



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Audit Agenda

The Team Leader shall finalize the agenda with the auditee.

Agenda will show:

- **Opening meeting date/time.**
- **Specific audit activities time frame.**
- **Auditor(s) assigned to specific activities.**
- **Start/stop times of daily activities.**
- **Meetings required (In-brief, daily meetings, exit brief).**